

STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))-NONPROFIT ORGANIZATION

DOCKET NUMBER: 0050.1618-001

Applicant or Patentee: Leonard Guarente, Shin-ichiro Imai, Christopher Armstrong and Heidi A. Tissenbaum

Application or Patent No.: 09/735,786

Filed or Issued: December 13, 2000

Title: "Methods For Identifying Agents Which Alter Histone Protein Acetylation, Decrease Aging or Increase Lifespan"

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION Massachusetts Institute of Technology

ADDRESS OF NONPROFIT ORGANIZATION 77 Massachusetts Avenue

Cambridge, Massachusetts 02139

TYPE OF NONPROFIT ORGANIZATION:

☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION

☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C.501(a) and 501(c)(3))

☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA

(NAME OF STATE \_\_\_\_\_)

(CITATION OF STATUTE \_\_\_\_\_)

☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA

☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA

(NAME OF STATE \_\_\_\_\_)

(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

☐ the specification filed herewith with title as listed above.

☒ the application identified above.

☐ the patent identified above.

I hereby state that the rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities. No rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

☒ no such person, concern, or organization exists.

☐ each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING \_\_\_\_\_

LITA L. NELSEN, DIRECTOR  
TECHNOLOGY LICENSING OFFICE

TITLE IN ORGANIZATION OF PERSON SIGNING \_\_\_\_\_

ADDRESS OF PERSON SIGNING 77 Massachusetts Avenue, Cambridge, Massachusetts 02139

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

1/29/01



DOCKET NO. 0050.1618-001

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application

[ ] Supplemental (37 C.F.R. §1.67)

As a named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 2 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Methods for Identifying Agents Which Alter Histone Protein Acetylation, Decrease Aging or  
Increase Lifespan

the specification of which (check one)

[ ] is attached hereto.

[X] was filed on December 13, 2000 as United States Application

Number or PCT International Application No. 09/735,786

and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119 or 365 of any foreign application(s) for patent or inventor's certificate, or of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed:

| <u>Prior Foreign Application(s)</u> |                 |                              | Priority<br>Not<br>Claimed | Certified<br>Copy Filed? |     |
|-------------------------------------|-----------------|------------------------------|----------------------------|--------------------------|-----|
|                                     |                 |                              |                            | YES                      | NO  |
| (Number) _____                      | (Country) _____ | (Day/Month/Year filed) _____ | [ ]                        | [ ]                      | [ ] |
| (Number) _____                      | (Country) _____ | (Day/Month/Year filed) _____ | [ ]                        | [ ]                      | [ ] |
| (Number) _____                      | (Country) _____ | (Day/Month/Year filed) _____ | [ ]                        | [ ]                      | [ ] |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole

or first inventor Leonard Guarente

Inventor's Signature Leonard Guarente Date \_\_\_\_\_

Residence 72 Goodnough Road

Chestnut Hill, Massachusetts 02156

Citizenship USA

Mailing Address same as above

Full name of second joint

inventor, if any Shin-Ichiro Imai

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 11019 Wellsley Court

St. Louis, MO 63146

Citizenship Japan

Mailing Address same as above

Full name of third joint

inventor, if any Christopher Armstrong

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 10 Jamaica Way, Apt. #11

Jamaica Plain, MA 02130

Citizenship United States

Mailing Address same as above

Full name of fourth joint

inventor, if any Heidi A. Tissenbaum

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 32 Oak Hill Road

Wayland, MA 01778

Citizenship Canada

Mailing Address same as above



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Chestnut Hill, Massachusetts 02156

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Mailing Address same as above

Full name of second joint

inventor, if any Shin-Ichiro Imai

Inventor's Signature *Shin-Ichiro Imai* Date 2/26/02

Residence 11019 Wellsley Court

St. Louis, MO 63146

*Carol L. Pupillo*

CAROL L. PUPILLO

Notary Public - State of Missouri

County of St. Louis

My Commission Expires Apr. 8, 2005

Citizenship Japan

Mailing Address same as above

Full name of third joint

inventor, if any Christopher Armstrong

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 10 Jamaica Way, Apt. #11

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Mailing Address same as above

Full name of fourth joint

inventor, if any Heidi A. Tissenbaum

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

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Inventor's Signature *Christopher Armstrong* Date 2-22-2002

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|                                     |                    |                                 |                            | YES                      | NO  |
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| _____<br>(Number)                   | _____<br>(Country) | _____<br>(Day/Month/Year filed) | [ ]                        | [ ]                      | [ ] |
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